

042605

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 12-2004)

ATTORNEY'S DOCKET NUMBER

02-985-B

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/532745

INTERNATIONAL APPLICATION NO.
PCT/US2003/033730INTERNATIONAL FILING DATE
24 October 2003 (24.10.03)PRIORITY DATE CLAIMED
29 October 2002 (29.10.02)

TITLE OF INVENTION

NOVEL COMBINATION THERAPY FOR SCHIZOPHRENIA FOCUSED ON IMPROVED COGNITION: 5-HT-2A/D2
BLOCKADE WITH ADJUNCTIVE BLOCKADE OF PREFRONTAL DA REUPTAKE

APPLICANT(S) FOR DO/EO/US

Graham V. WILLIAMS AND Stacy A. CASTNER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

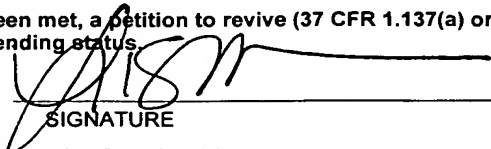
1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 565818089 US
23. ☒ Other items or information:

Application Data Sheet, Filing Fee Check and Return Receipt Postcard

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|--|--------------|--|------------|---|------------|
| U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/532745 | | INTERNATIONAL APPLICATION NO. PCT/US2003/033730 | | ATTORNEY'S DOCKET NUMBER 02-985-B | |
| 24. The following fees are submitted: | | | | Applicant use | Office use |
| <input checked="" type="checkbox"/> a) Basic national fee \$300.00 | | | | \$ 300.00 | |
| <input checked="" type="checkbox"/> b) Examination fee \$200.00 | | | | \$ 200.00 | |
| <input checked="" type="checkbox"/> c) Search fee \$500.00 | | | | \$ 500.00 | |
| TOTAL OF ABOVE CALCULATIONS = \$1000.00 | | | | \$ 1,000.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE | | |
| 18 - 100 = | -82 /50 = | -1 | x \$250.00 | \$ 0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 21 - 20 = | 1 | x \$50.00 | \$ 50.00 | |
| Independent claims | 3 - 3 = | 0 | x \$200.00 | \$ 0.00 | |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 | | | | \$ 0.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 1,050.00 | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ 525.00 | |
| SUBTOTAL = | | | | \$ 525.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ 0.00 | |
| TOTAL NATIONAL FEE = | | | | \$ 525.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + | | | | \$ 0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ 525.00 | |
| Amount to be refunded: | | | | \$ | |
| Amount to be charged: | | | | \$ | |
| a. <input checked="" type="checkbox"/> A check in the amount of \$ 525.00 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-2490 . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| Lisa M.W. Hillman McDonnell Boehnen Hulbert & Berghoff LLP 300 South Wacker Drive Suite 3100 Chicago, IL 60606 | | | |  SIGNATURE Lisa M.W. Hillman NAME 43,673 REGISTRATION NUMBER | |

02-985-B

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
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Graham V. WILLIAMS AND Stacy A. CASTNER

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1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.

THE FACE OF THIS CHECK IS PRINTED BLUE - THE BACK CONTAINS A SIMULATED WATERMARK

| | | | | |
|--|--|---|----------------------|-----------|
| bhb McDonnell, Boehnen, Hulbert & Berghoff LLP 300 South Wacker Drive Chicago, Illinois 60606-6709 www.mbhbb.com | | NATIONAL CITY BANK OF MICHIGAN/ILLINOIS 702189/719 | | No 083355 |
| CHECK NO. 83355 | | CHECK DATE 04/25/2005 | VENDOR NO. AS0405 | |
| FIVE HUNDRED TWENTY-FIVE AND 00/100 Dollars | | CHECK AMOUNT \$ ***** 525.00 | | |
| U.S. Patent & Trademark Office | | | | |
|  | | | | |

⑈083355⑈ ⑆071921891⑆ 978816144⑈

Article 36 (35 U.S.C. 371 (c)(5)).

11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
 12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to

13. ☐ An
 14. ☐ An Commissioner of Serial No. N/A
 15. ☐ A Patents and Trademarks
 16. ☐ A Re: Applicant - Williams et al. Case No. 02-985-B
 17. ☐ A Novel Combination Therapy for Schizophrenia Focused on Improved Cognition: 5-HT-2A/D2
 18. ☐ A Blockade with Adjunctive Blockade of Prefrontal Da Reuptake
 19. ☐ A Sir:
 20. ☐ A Please place the Patent Office receipt stamp hereon and mail to acknowledge receipt of:
 21. ☐ A Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) (in duplicate);
 22. ☒ A Copy of International Publication No. WO 04/039322 A2 (18 sheets);
 23. ☒ Exp Application data Sheet (3 sheets); Copy of International Search Report (5 sheets); Check for \$400.00 and
 24. ☒ Oth Return Receipt Postcard.

Fee Enclosed
\$ 400.00

Date Mailed: April 26 2005

Respectfully,
 McDonnell Boehnen Hulbert & Berghoff LLP
 Attorney for Applicants

JC02 Rec'd PCT/PTC 26 APR 2005